Section VIII: FY2000/2001 RECAP OECA Performance Measures: RCRA

FY 2000/2001 RECAP SNC Measures: RCRA						
Measure Code	**Measure**	**New Reporting**	**Universe**	**Data Source**	**Key Data Fields**	**Reason for Measure**
Universe of RCRA Measures						
RUN-A	Total Universe (HUSUBLCEI)	None	TSDs subject to CEI, (Combuster, LDF, TSF), LQG[1], SQG, CESQG, Transporter, Non-Notifier, Other[2].	RCRIS or RCRAInfo from IDEA	- HUSUBJCEI - LQG IDs (HUFULREGGEN - SQGs (HUSMLGEN) - CESQG (HUCESQG) - Transporter (HUTRAN) - Non-Notifier (HNON_NOTIF) - Other (any facility with an EPA ID (HID_NUM) which does not fall into one of the above universes)	OECA Management

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[1]Using BRS and RCRIS HUFULREGGEN with activity (evaluation, violation or enforcement) in the last 5 years. The LQG EPA IDs will be saved in a data file and matched with RCRIS EPA IDs for additional compliance information.

[2]SQGs, CESQGs, Transporters, Non-Notifiers and ~~Others~~ only with activity (evaluation, violation or enforcement) in the last 5 years will be used.

	FY 2000/2001 RECAP SNC Measures: RCRA					
Measure Code	Measure	New Reporting	Universe	Data Source	Key Data Fields	Reason for Measure
RUN-B	Annual BOY Enforcement Universe (Operating (Active) Universe)[3]	None	Operating TSDFs (Combuster, LDF, TSF) LQG IDs SQG IDs CESQG, Transporter, Non-Notifier, Other	RCRIS or RCRAInfo from IDEA	For TSDs: HBANKRUPT NE 'F' OR 'C' and Legal Status Codes= EM, IS, LP, NN, PI, PM, RD, RQ, TA, and Operating Status Code = OP LQG ID FILE (BRS/RCRIS) SQG[4] CESQG (HUCESQG) - Transporter (HUTRAN) - Non-Notifier (HNON_NOTIF) - Other (any facility with an EPA ID (HID_NUM)	OECA Management

RCRA SNC Measures

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[3] This universe identifies facilities that have units that are actively treating, storing, disposing of hazardous wastes or that are generating hazardous wastes within last five years.

[4] SQGs, CESQGs, Transporters, Non-Notifiers and Others only with activity (evaluation, violation or enforcement) in the last 5 years will be used.

FY 2000/2001 RECAP SNC Measures: RCRA

Measure Code	Measure	New Reporting	Universe	Data Source	Key Data Fields	Reason for Measure
SNCR1	a. # of beginning of year (BOY) SNCs b. # of new SNCs identified during the year as SNC c. # of Total SNC (= a + b) that are "Returned to Compliance"[5] at some point during the fiscal year. d. % of Total SNC (= a + b) "Returned to Compliance" = c/(a + b). e. % of Total SNC(=a + b) that are on a compliance schedule f. % of Total SNC(=a+b) that return to compliance and are in full physical compliance	None	1. RUN - A (Total Universe-HUSUBLCEI) 2. RUN - B (Active Universe)	RCRIS or RCRAInfo from IDEA	a. HBOYSNC "X" b. CE_TYPE (values SNY & SNN), and CE_DATE GT BOY and LT EOY c. CEV_ACT_DTE GT BOY and LT EOY or CEV_SCH_DTE GT reporting period. e. CEV-ACT_DTE=blank and CEV_SCH_DTE GT reporting period. f. CEV_ACT_DTE GT BOY and LT EOY.	OECA Management

SNC Duration

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[5]"Returned to Compliance" means either in full physical compliance or on a compliance schedule.

FY 2000/2001 RECAP SNC Measures: RCRA						
Measure Code	Measure	New Reporting	Universe	Data Source	Key Data Fields	Reason for Measure
SNCR2	a. # and % of SNCs that are "Returned to Compliance" in: i) 6 months or less[6] ii) 6 months to one-year iii) one to two years; iv) more than two years; b. # and % of unresolved[7] SNCS that are in that status for i)for less than 3 years; ii) more than 3 years	None	1. RUN-A (Total Universe-HUSUBLCEI)	RCRIS or RCRAInfo from IDEA	CE_TYPE (values SNY & SNN), CE_DATE, CEE_ACT_DTE, CEV_SCH_DTE	a)NPMS Set 6; FY 2001 Annual Performance Goal Measure (APGM) #246 b) OECA Management

SNC Recidivism Measures

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[6]Will use the compliance schedule date to calculate duration of time. Since facilities can come in and out of compliance with their compliance schedules during the course of the year, we will use the longest continuous period of time a facility is out of compliance. (e.g.: periods of time out of compliance with a compliance schedule 2/3/99 - 3/1/99 = 24 days then again 7/7/99 - 7/21/99 = 13 days. Measure would indicate facility was out of compliance for 24 days in FY 99.)

[7]"Unresolved" means a facility that is not "Returned to Compliance" (either not in full physical compliance or not in-compliance with their compliance schedule.)

	FY 2000/2001 RECAP SNC Measures: RCRA					
Measure Code	**Measure**	**New Reporting**	**Universe**	**Data Source**	**Key Data Fields**	**Reason for Measure**
SNCR3	% of significant violators with new or recurrent violations[8]	None	1. RUN-A (Total Universe-HUSUBLCEI)	RCRIS or RCRAInfo from IDEA	CE_TYPE (values SNY & SNN), CE_DATE	NPMS Set 7 APGM #245
RCRA Timely and Appropriateness[9]						
SNC R4	# and % of new SNCs that have received a formal enforcement action within: i) 90 days ii) 180 days iii) more than 180 days.		1. RUN-A (Total Universe-HUSUBLCEI); and 2. RUN-B (Active Universe)	RCRIS or RCRAInfo from IDEA	CE_TYPE (values SNY & SNN) CEE_ACT_TYP not > 200 CEV_ACT_DTE Debbie: Please add the codes for inspection date.[10]	OECA Management

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[8]This measure is a historical measure that looks at SNCs from two years ago that lost their SNC status. Of the former SNCs idnetified, what percentage of those former SNCs become SNCs again over the next 24 months. The universe for the recidivism calculation are those facilities that have had at least one inspection during the following 24 month period or are otherwise known to be in SNC.

[9]This measure looks at SNYs within a given fiscal year; however, the time period for determining T & A can extend beyond a given fiscal year.

[10]Until linkages are made from SNY to underlying inspection, we will use the most recent inspection date before the SNY determination date as Day Zero for calculating T & A.

	FY2000/2001 RCRA Compliance Monitoring Measures					
Measure code	**Measure**	**New Reporting**	**Data Source**	**Key Data Fields**	**Universe**	**Reason for Measure**
Investigations, Citizen Complaints						
RCRAINV	Total Number of Investigations	None	Manual			NPMS Set 8/APGM #915
RCRACC	Total Number of Citizen Complaints	None	Manual			NPMS Set 8
Inspections						
RINS-1	Total # of inspections[11] from RUN-A (Total Universe-HUSUBLCEI) a. EPA b. State	None	RCRIS or RCRAInfo from IDEA	CE_TYPE = CAO, CDI, CEI, CME, SPL, FRR, NRR, CMS, CSE, OAM, MMB, MMC, MMD, OTH[12]. CE_DATE a. CE_AGENCY=E,C,X b. CE_AGENCY = S,B	Total universe (RUN-A) by category: -Combuster - LDF - TSF - LQG - SQG - CESQG - Transporter - Non-Notifier - Other	FY2001 Annual Performance Goal Measure (APGM) #275

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[11]Inspection counts does not include 'CAV' compliance assistance visit, 'FSD' facility self-disclosures, 'MMS' multi-media screening checklist, 'LBN' Land Ban inspection, 'CES' Compliance Evaluation Inspection without Sampling, 'SNY' Significant Non-complier flag and 'SNN' Non-SNC flag.

[12]ORE is looking at a replacement for the OTHER inspection type. RECAP will be updated to reflect whatever decisions are make with respect to the OTHER inspection type. 'OTHER' inspection will be counted in the coverage count (RINS-2B).

	FY2000/2001 RCRA Compliance Monitoring Measures					
Measure code	**Measure**	**New Reporting**	**Data Source**	**Key Data Fields**	**Universe**	**Reason for Measure**
RINS-2	Coverage: total # and %[13] of ACTIVE facilities inspected (RUN-B) by - EPA; - State; - Either	None	RCRIS or RCRAInfo from IDEA	Same as RINS-1A	Active Universe (RUN-B) by : - Combuster - LDF - TSF - LQG - SQG - CESQG - Transporter - Non- Notifier - Other	OECA Management

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[13]% will not apply to universes below LQG

		FY2000/2001 RCRA Compliance Monitoring Measures				
Measure code	Measure	New Reporting	Data Source	Key Data Fields	Universe	Reason for Measure
RINS-3	Total # and % of facilities with CEI[14] inspection conducted from RUN-A(Total Universe) by: a. EPA b. State c. Either	None	RCRIS or RCRAInfo from IDEA	CE_TYPE = CEI, MMC, MMB, MMD a. CE_AGENCY = E,C,X b. CE_AGENCY = S, B c. CE_AGENCY = S, B, E,C,X	Total Universe (RUN-A) by : - Combuster - LDF - TSF - LQG - SQG - CESQG - Transporter - Non-Notifier - Other	OECA Management
RINS-4	# of EPA UST inspections	None	Manual	Break out Federal Facility and Non-Federal Facility		APGM #275

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[14]Multiple CEI Types (CEI, MMC, MMB, and MMD) inspections at the same facility only counted once.

FY2000/2001 RCRA Compliance Monitoring Measures						
Measure code	**Measure**	**New Reporting**	**Data Source**	**Key Data Fields**	**Universe**	**Reason for Measure**
RINS-5	# of MOA Priority Inspections at: a. Permit Evaders broken out by: waste-derived fertilizer; Bevill; foundries and other; b. Petroleum Refineries c. Metal Finishing	None	a. Manual b. Manual c. Manual		Total	OECA Management/ MOA Projection Tracking

FY 2000/2001 RECAP ENFORCEMENT OUTPUT MEASURES: RCRA					
Measure Code	**Measure**	**New Reporting**	**Data Source**	**Key Data Fields/Comments**	**Reason for Measure**
Federal Notices of Violation					
EONOVR	# of Federal NOVs in the RCRA Program[15]		RCRIS or RCRAInfo from IDEA	CEE_ACT_TYP 120-Written Informal; CEE_ACT_TYP 190 - Combination Written/Verbal Informal CEE_ENF_AGCY: "E", or "X"	NPMS Set 9

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[15]RCRA NOV is defined as: "a notice sent by EPA or the State pursuant to the authority granted under Section 3008(a) of the Resource Conservation and Recovery Act...or similar State authority, informing a source that a violation of an applicable Federal or State regulation has occurred."

FY 2000/2001 RECAP ENFORCEMENT OUTPUT MEASURES: RCRA

Measure Code	Measure	New Reporting	Data Source	Key Data Fields/Comments	Reason for Measure
Federal Consent Decree Tracking					
EOCDR1	# of Active Consent Decrees (by media)	**Entry into Docket Consent Decree Tracking System (CDETS) is now required**	Docket/CDETS	CDETS-Quarterly Compliance Report. SPMS Data Report	OECA Management
EOCDR2	# of Active Consent Decrees in Compliance	**Entry into Docket Consent Decree Tracking System is now required**	Docket/CDETS	OCOM=Y	OECA Management
EOCDR3	# of Active Consent Decrees in Violation where Formal Enforcement Action has commenced	**Entry into Docket Consent Decree Tracking System is now required**	Docket/CDETS	OCOM=T	OECA Management

FY 2000/2001 RECAP ENFORCEMENT OUTPUT MEASURES: RCRA

Measure Code	Measure	New Reporting	Data Source	Key Data Fields/Comments	Reason for Measure
EOCDR4	# of Active Consent Decrees in violation with Formal Action planned but not commenced	**Entry into Docket Consent Decree Tracking System is now required**	Docket/CDETS	OCOM=P	OECA Management
EOCDR5	# of Active Consent Decrees in violation with no Formal Enforcement Action planned or necessary	**Entry into docket's Consent Decree Tracking System now required**	Docket/CDETS	OCOM=V	OECA Management
EOCDR6	# of Active Consent Decrees for which current status is unknown or not reported	**Entry into docket's Consent Decree Tracking System now required**	Docket/CDETS	OCOM=X	OECA Management

Federal Enforcement Outputs: RCRA Civil Case Initiations

Measure Code	Measure	New Reporting	Source	Key Data Fields/Comments	Reason for Measure
EOC1R1	# of Notices of Determination	Applies to audit cases only	Docket	ACTY=G	APGM #272

FY 2000/2001 RECAP ENFORCEMENT OUTPUT MEASURES: RCRA

Measure Code	Measure	New Reporting	Data Source	Key Data Fields/Comments	Reason for Measure
EOCIR2	# of Civil Judicial Referrals	Includes multi-media and multi-facility credits	Docket	CDOJ	APGM #272
EOCIR3	# of Administrative Penalty Order Complaints	Includes multi-media and multi-facility credits	Docket	ACTY=B	APGM #272

Federal Enforcement Outputs: RCRA Civil Case Conclusions

EOCCR1	# of Civil Judicial Cases Concluded		Docket	ACTY=a CCNC	APGM #272
EOCCR2	# of Compliance Orders (Non-Penalty)		Docket	ACTY=f	APGM #272
EOCCR3	# of Final Administrative Penalty Orders Issued		Docket	ACTY=b	APGM #272
EOCCR4	# of Final Federal Facility Compliance Agreements Issued		Docket	ACTY=d	APGM #272
EOCCR5	# of Field Citations Resolved		Docket	ACTY=e	APGM #272

State Enforcement Outputs: State Enforcement Actions: RCRA Program[16]

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[16]All RCRA formal state enforcement actions will be pulled from both the CM&E and the Corrective Action modules. (CEE-ACT-TYP and CI-STATUTE respectively).

FY 2000/2001 RECAP ENFORCEMENT OUTPUT MEASURES: RCRA

Measure Code	Measure	New Reporting	Data Source	Key Data Fields/Comments	Reason for Measure
EOSR1	# of Initial Formal State Administrative Orders (Penalty and Non-penalty) Issued year-to-date (including 3008(a), 3008(h), 3013 and 7003).		RCRIS or RCRAInfo from IDEA	CEE_ACT_TYP 200-299 CI-STATUTE C,D,E,&F CEE_ENF_AGCY "S" CI_AGENCY "S" CEE_ACT_DTE CI_EFF_DATE	State Core Performance Measure
EOSR2	# of Final Formal State Administrative Orders (penalty and non-penalty) Issued year-to-date (including 3008(a), 3008(h), 3013 and 7003).		RCRIS or RCRAInfo from IDEA	CEE_ACT_TYP 300-399 CI-STATUTE C,D,E,&F CEE_ENF_AGCY "S" CI_AGENCY "S" CEE_ACT_DTE CI_EFF_DATE	OECA Management
EOSR3	# of Total [17]Formal State Administrative Orders (penalty and non-penalty) Issued at a facility year-to-date (including 3008(a), 3008(h), 3013		RCRIS or RCRAInfo from IDEA	CEE_ACT_TYP 200-399 CI-STATUTE C,D,E,&F CEE_ENF_AGCY "S" CI_AGENCY "S" CEE_ACT_DTE CI_EFF_DATE	State Core Performance Measure

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[17]Total means the number of initial and concluded formal administrative orders. To avoid double counting, we will count multiple actions with the same 2nd and 3rd digit code against the same violation at the same facility as one action (i.e. facility ABC, violation #1 has an initial 210 action and a final 310 action, the total number of actions at this facility will be counted as one. If on the other hand, facility ABC has violation #2 and has a initial 210 action and a final 320 action the total number of actions at this facility will be counted as two).

FY 2000/2001 RECAP ENFORCEMENT OUTPUT MEASURES: RCRA					
Measure Code	**Measure**	**New Reporting**	**Data Source**	**Key Data Fields/Comments**	**Reason for Measure**
EOSR4	# of Formal State Judicial Actions		RCRIS or RCRAInfo from IDEA	CEE_ACT_TYP = 500s & 600s CI-STATUTE C,D,E,&F CEE_ENF_AGCY "S" CEE_ACT_DTE	OECA Management
EOSR5	# of Initial 3008 (a) at Combustion, LDF; TSF; LQG[18]; SQG[19] facilities		RCRIS or RCRAInfo from IDEA	3008(a) = CEE_ACT_ TYP 210 - 219 CEE_ACT_DTE CEE_ENF_AGCY "S" HUSUBJCEI "X" HFULREGGEN "X" HUSMLGEN "X"	OECA Management
EOSR6	# of Final 3008 (a) at Combustion, LDF; TSF; LQG; SQG facilities		RCRIS or RCRAInfo from IDEA	3008(a) = CEE_ACT_TYP 310 - 319 CEE_ACT_DTE CEE_ENF_AGCY "S" HUSUBJCEI "X" HFULREGGEN "X" HUSMLGEN "X"	OECA Management

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[18]Using BRS and RCRIS HUFULREGGEN with activity (evaluation, violation or enforcement) in the last 5 years. The LQG EPA IDs will be saved in a data file and matched with RCRIS EPA IDs for additional compliance information.

[19]SQG universe should also be pulled from RCRIS using HUSMLGEN with activity in the last five years.

FY 2000/2001 RECAP ENFORCEMENT OUTPUT MEASURES: RCRA

Measure Code	Measure	New Reporting	Data Source	Key Data Fields/Comments	Reason for Measure
EOSR7	# of State Referrals to DA or CA at TSDFs; LQGs; SQGs		RCRIS or RCRAInfo from IDEA	Referrals to DA or CA= CEE_ACT_TYP 430 CEE_ACT_DTE CEE_ENF_AGCY "S" HUSUBJCEI "X" HFULREGGEN "X" HUSMLGEN "X"	OECA Management